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A SERVICE OF THE
COMMITTEE ON OFFICE MANAGEMENT AND PRACTICES
OF THE
AMERICAN ASSOCIATION OF COLLEGIATE
REGISTRARS AND ADMISSIONS OFFICERS

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Ralph E. Weber, Marquette University
* Jack N. Williams, Creighton University

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RETENTION OF RECORDS

A GUIDE FOR REGISTRARS AND ADMISSIONS OFFICERS IN COLLEGIATE INSTITUTIONS

A SERVICE OF THE
COMMITTEE ON OFFICE MANAGEMENT AND PRACTICES
OF THE
AMERICAN ASSOCIATION OF COLLEGIATE
REGISTRARS AND ADMISSIONS OFFICERS
1960

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Preface

THIS Guide has been a project of the Committee on Office Management and Practices of AACRAO. Data were collected, analyzed, and tabulated in 1958-59 and the report completed in 1959-60.

The Committee gratefully acknowledges the questionnaire response of admissions officers and registrars and the co-operation of those individuals who supplied information on the legal aspects of records maintained in educational institutions.

Finally, I wish to express my appreciation to the Committee members and to the personnel of their respective offices who participated in the production of this manual.

E. C. SEYLER, *Chairman*
Committee on Office
Management and Practices

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CHAPTER I

Introduction

THE REGISTRAR of a college or university serves his primary reason for being by constantly furthering the educational purposes of his institution, in facilitating the work of students, and in facilitating the work of the staff in the fulfillment of its instructional goals.

Therefore, the registrar should first of all be an educator in the broad sense of the term. He should have a wide understanding and love of collegiate education, its philosophy, its organization, and its operation. He should also have a fine knowledge of education in its many strata; elementary, secondary, and higher, as well as a working knowledge of the educational systems in foreign countries.

Universities exist not to dictate duties but to reveal choices. If, therefore, the university is to render this aid it must follow that those who undertake this task must know a great deal concerning the student himself. Where students are concerned, it seems inevitable that records must be kept which show all the things the college knows about its students. It is at this point that the registrar renders his highly important service. And it is in this area of mass accumulation of factual data and accompanying documents that most registrars have felt at a loss. Over the years, and most especially since the culmination of World War II with its tremendous effect upon college campuses, his office has been amassing record after record, fact after fact, until today in many places and in many instances it has become nothing more than a depository for a vastly growing volume of information, and he himself an archivist. To loosen these bonds so that he may properly have time for things more important, modern methods of business record management must be applied. For business with its many organizational complexities and vast structures has already experimented and found suitable answers in the area of record retention and control. Under a well organized records management program, the files in the office of the registrar and the admissions officer wili serve as the never failing memory of the institution.

Just like the memory of a human being, the office memory is useful only when it can retain the facts and produce them when they are needed. Records are indispensable to collegiate accomplishment.

Whether they become an asset or a liability, however, depends upon how well or how poorly they are kept, for a sound management program will increase the value of each record as it lowers the cost of maintenence.

While it is true, as mentioned before, that the registrar cannot help but be somewhat of an archivist, he must be extremely careful not to become too "record" centered. He should develop the practical art of becoming a good records manager and not just a collector of numberless items which have become easier to file than to review and destroy.

It is not intended that a record retention program should be a ruthless destruction of old and slightly used records. On the contrary one must keep in mind the fact that even though older, less used records are not often referred to, they are just as important as active records when a reference is needed. A record retention program should involve a great deal of thought and many wise *decisions*. A destruction schedule should be made and adhered to. A decision must be made whether to microfilm, whether to use a system of record storage filing, or whether to follow a combined program embodying both. It cannot be overemphasized that record retention should not begin and end with the microfilming or storage of records. The inauguration of such a program will constantly call for the exercise of executive judgment in the determination of what is essential and what must be retained for future reference. By establishing a program for retention and destruction, records should never accumulate in an overwhelming manner.

Because of new technological improvements in the area of photographing and reproduction, microfilm is fast becoming one of the most versatile record keeping tools available to the registrar. The unique adaptability of microfilming to paper filing systems in this day of soaring clerical costs and expensive storage space is one of its more distinct advantages. Record retention is, naturally, one of its most important applications. Condensing records saves space, preserves the record, and allows fast and easy reference to the recorded information. In the last analysis, and at the present time, a record retention program must avoid extremes of "too much, too often, and too long."

CHAPTER II

A Survey of the Record Retention Programs in Collegiate Institutions Holding Membership in AACRAO

ONE PHASE of the research conducted in the preparation, preservation, retention, and destruction of records was to determine what is being done by a representative number of collegiate institutions holding membership in the American Association of Collegiate Registrars and Admissions Officers. Accordingly, an analysis was made of office forms commonly used by collegiate institutions in admissions, registration, and records. Following this analysis, a questionnaire was mailed to 50 per cent of the member collegiate institutions as listed in the Fall, 1957, issue of *College and University*, the Journal of the American Association of Collegiate Registrars and Admissions Officers.

The sampling was taken by selecting every other institution listed in the Journal. Of the 729 questionnaires mailed, 632 were returned. Of the 632 returns, 30 were eliminated from the analysis either because the replies on the questionnaire were inadequate or the questionnaire did not adequately cover the retention procedure of the institution making the reply. The final analysis of the returns includes 602 replies. This represents 83 per cent of the original institutions contacted and approximately 42 per cent of all member institutions in AACRAO.

Table 1 shows the distribution of the 602 institutions represented in this survey according to type and size of institution. In tabulating the size of the institutions, the fall, 1958, enrollment figures as reported on the questionnaire by the institutions were used.

Table 1 may be read as follows: Of the 602 institutions included in the report, 206, or 34 per cent, were public. Of these, seventeen had an enrollment of less than 500; thirty-four from 500 to 999; fifty-five from 1000 to 2499; forty-five from 2500 to 4999; fourteen from 5000 to 7499; ten from 7500 to 9999; fourteen from 10,000 to 14,999; twelve from 15,000 to 19,999; and five 20,000 or over. Inasmuch as these 602 institutions represent approximately 42 per

TABLE 1

TYPES OF INSTITUTIONS IN THE SURVEY

Type	No. of Institutions	Per Cent	Less than 500	500–999	1,000–2,499	2,500–4,999	5,000–7,499	7,500–9,999	10,000–14,999	15,000–19,999	20,000– and over
Public	206	34.22	17	34	55	45	14	10	14	12	5
Private	396	65.78	162	110	76	21	15	17	4	—	1
Men's	46	7.64	14	9	16	7	—	—	—	—	—
Women's	87	14.45	55	21	11	—	—	—	—	—	—
Co-Educational	469	77.91	110	114	104	59	29	17	18	12	6
Junior College	79	13.12	39	20	16	1	1	1	—	1	—
4 year College	259	43.02	100	94	56	8	—	1	—	—	—
4 year College with Graduate School or Professional School	264	43.86	40	30	59	57	28	15	18	11	6
Total	602	—	179	144	131	66	29	17	18	12	6
Percent of Total		100.00	29.73	23.92	21.76	10.96	4.82	2.82	2.99	2.00	1.00

AMERICAN ASSOCIATION OF COLLEGIATE REGISTRARS AND ADMISSION OFFICERS

Records Retention Questionnaire

Name of Institution
Col. 1 - 4

Fall 1958 Enrollment _____
Col. 5

Please check appropriate blanks:

Public School ____ (1)
Private School ____ (2)
Col. 6

Men's School ____ (1)
Women's School ____ (2)
Coeducational ____ (3)
Col. 7

Junior College ____ (1)
Four Year College ____ (2)
Four Year College with Graduate School or Professional School ____ (3)
Col. 8

FOR THOSE WHO ENTER

Col.	ADMISSIONS MATERIALS	Check if Retained Less Than 1 Year (00)	Circle Number of Years Retained (01 - 10)	Check if Retained Over 10 Years (11)	Check if Retained Permanently (12)	Check if not Applicable (13)	Check if Microfilmed X
9-10	Application Blank		1 2 3 4 5 6 7 8 9 10				
11-12	Advanced Placement Reports		1 2 3 4 5 6 7 8 9 10				
13-14	College Bd. Ent. Exam. Reports		1 2 3 4 5 6 7 8 9 10				
15-16	Correspondence, General		1 2 3 4 5 6 7 8 9 10				
17-18	Letters of Recommendation*		1 2 3 4 5 6 7 8 9 10				
19-20	Medical Record		1 2 3 4 5 6 7 8 9 10				
21-22	Readmission Blank		1 2 3 4 5 6 7 8 9 10				
23-24	Residence, Legal Classification Form		1 2 3 4 5 6 7 8 9 10				
25-26	Special Actions		1 2 3 4 5 6 7 8 9 10				
27-28	Transcripts, Other Colleges		1 2 3 4 5 6 7 8 9 10				
29-30	Transcripts, High School		1 2 3 4 5 6 7 8 9 10				
	REGISTRATION AND RECORDS MATERIALS						
31-32	Academic Record		1 2 3 4 5 6 7 8 9 10				
33-34	Change of Course Card		1 2 3 4 5 6 7 8 9 10				
35-36	Course Schedule Card		1 2 3 4 5 6 7 8 9 10				
37-38	Disciplinary Action Notices		1 2 3 4 5 6 7 8 9 10				
39-40	Fee Assessment Card		1 2 3 4 5 6 7 8 9 10				
41-42	Grade Report-Instructor's Original		1 2 3 4 5 6 7 8 9 10				
43-44	Grade Report-Special		1 2 3 4 5 6 7 8 9 10				
45-46	Grade Report-Students		1 2 3 4 5 6 7 8 9 10				
47-48	I.D. Photographs		1 2 3 4 5 6 7 8 9 10				
49-50	Personal Data Cards		1 2 3 4 5 6 7 8 9 10				
51-52	Scholastic Action Notices		1 2 3 4 5 6 7 8 9 10				
53-54	Student Transfer Forms (Curr. Change)		1 2 3 4 5 6 7 8 9 10				
55-56	Transcript Requests		1 2 3 4 5 6 7 8 9 10				
57-58	Withdrawal Form (Authorizations)		1 2 3 4 5 6 7 8 9 10				

*Principals, Counselors, Campus Testing, etc.

See Reverse Side

This applies to the credentials of those students who apply but do not enter the University.

Col.	ADMISSIONS MATERIALS	Check if Retained Less Than 1 Year (00)	Circle Number of Years Retained (01 - 10)	Check if Retained Over 10 Years (11)	Check if Retained Permanently (12)	Check if not Applicable (13)	Check if Microfilmed X
59-60	Application Blank		1 2 3 4 5 6 7 8 9 10				
61-62	Advanced Placement Reports		1 2 3 4 5 6 7 8 9 10				
63-64	College Bd. Ent. Exam. Reports		1 2 3 4 5 6 7 8 9 10				
65-66	Correspondence, General		1 2 3 4 5 6 7 8 9 10				
67-68	Letters of Recommendation*		1 2 3 4 5 6 7 8 9 10				
69-70	Medical Record		1 2 3 4 5 6 7 8 9 10				
71-72	Readmission Blank		1 2 3 4 5 6 7 8 9 10				
73-74	Residence, Legal Classification Form		1 2 3 4 5 6 7 8 9 10				
75-76	Special Actions		1 2 3 4 5 6 7 8 9 10				
77-78	Transcripts, Other Colleges		1 2 3 4 5 6 7 8 9 10				
79-80	Transcripts, High School		1 2 3 4 5 6 7 8 9 10				

*Principals, Counselors, Campus Testing, etc.

Committee on Office Management and Practices

E. C. Seyler, University of Illinois (Chairman)
Laura Cross, University of Wichita
John A. Dunlop, Rensselaer Polytechnic Institute
Arthur M. Gowan, Iowa State College
Gretchen M. Happ, Principia College
Lyle B. Leisenring, Michigan State University
Edward M. Stout, DePaul University
Ralph Weber, Marquette University
Jack N. Williams, Creighton University

cent of all member institutions, this break-down, according to type, is representative of the entire membership of the Association.

Table 2 presents retention data on admission forms for those students who enter the institution.

Table 2 may be read as follows: Of the 602 institutions whose questionnaires were analyzed, 595 stated that they used an application blank and 7 stated that this form was not applicable to their institution. Nine institutions stated that they retained this application blank for less than one year, 11 for one year, 7 for two years, 36 for over ten years, 428 permanently, and 9 did not indicate on the questionnaire the number of years the application blank was retained. Some items of interest from this table are as follows: Those which are not applicable to a sizable number of institutions are the Advanced Placement Record, College Board Entrance Examination Reports, readmission blank, and the legal residence classification form. Some of the admission blanks which are retained permanently by the greater number of institutions are the application blank, special action reports, transcripts from other colleges, and transcripts from high schools.

Table 3 gives the retention data for registration and records forms for students who enter.

Table 3 may be read as follows: Of the 602 institutions considered, none indicated that the academic record was not applicable but ten failed to indicate the length of time that they retained this record. One institution reported that it retained the *original* academic record for a period of six years, 2 for ten years, 10 for over ten years, and 579 permanently. You will note also from this table that a number of forms are retained less than one year: change of course card, students' grade report, and transcript requests. The forms retained permanently were most consistently the academic record, disciplinary action notices, the instructors' original grade reports, personal data cards, and scholastic action cards.

Table 4 presents the retention data on admission forms for those students who apply but do not enter.

One of the surprising bits of information obtained from this table is the fact that a sizable number of institutions retain these admissions forms permanently in spite of the fact that the student does not enter the institution. For example, you will note that sixty-seven of the 602 institutions keep the application blank permanently for those students who do not enter.

TABLE 2

RETENTION DATA ON ADMISSIONS MATERIALS FOR THOSE WHO ENTER

Admissions Materials	Number Using Form	Not Applicable	Years Retained												Perm.	Not Indicated
			Less Than 1	1	2	3	4	5	6	7	8	9	10	Over 10		
Application Blank	595	7	9	11	7	11	17	27	5	4	2	1	28	36	428	9
Advanced Placement Record	394	208	9	11	2	6	12	18	1	2	2	—	23	18	237	53
College Bd. Ent. Exam. Reports	454	148	10	7	3	3	18	24	3	2	3	—	21	26	305	29
Correspondence, General	600	2	41	38	37	34	65	79	5	7	4	1	27	36	203	23
Ltrs. of Recommendation	566	36	12	11	7	13	38	46	3	3	2	1	32	47	333	18
Medical Record	514	88	2	8	14	6	47	43	6	9	1	2	29	33	289	25
Readmission Blank	399	203	14	18	6	5	9	29	2	3	2	1	17	20	234	39
Residence, Legal Class. Form	295	307	5	7	5	4	16	22	—	3	—	—	13	18	146	56
Special Actions	549	53	2	3	3	3	22	32	1	3	1	—	21	36	371	51
Transcripts, Other Colleges	601	1	1	2	—	5	8	13	1	5	1	—	21	43	488	13
Transcripts, High Schools	590	12	2	3	—	4	11	14	2	4	2	—	28	39	464	17

TABLE 3

RETENTION DATA ON REGISTRATION AND RECORDS MATERIALS FOR THOSE WHO ENTER

Registration and Records Materials	Number Using Form	Not Applicable	Years Retained												Perm.	Not Indicated
			Less Than 1	1	2	3	4	5	6	7	8	9	10	Over 10		
Academic Record	602	—	—	—	—	—	—	—	1	—	—	—	2	10	579	10
Change of Course Card	557	45	102	115	35	17	43	47	5	5	2	—	23	21	124	18
Course Schedule Card	583	19	52	80	31	14	46	55	7	6	4	—	28	26	212	22
Disciplinary Action Notices	575	27	7	8	6	4	22	24	5	2	—	—	23	39	402	33
Fee Assessment Card	437	165	28	25	19	13	21	38	2	12	—	—	22	22	173	62
Grade Rpt.—Instructor's Original	594	8	7	8	9	3	10	32	2	4	2	—	22	30	440	25
Grade Rpt.—Special	456	146	51	28	8	3	17	28	1	1	1	—	16	28	215	59
Grade Rpt.—Student's	468	134	107	64	21	7	17	30	1	1	1	—	13	26	130	50
I.D. Photographs	390	212	8	11	—	1	9	12	1	2	1	1	8	20	265	51
Personal Data Cards	539	63	14	18	9	8	20	30	1	3	2	1	22	28	348	35
Scholastic Action Cards	564	38	15	16	10	6	37	26	1	2	1	—	19	30	357	44
Student Trf. Forms (Curr. Change)	479	123	76	54	20	10	34	28	6	2	1	—	14	22	155	57
Transcript Requests	594	8	156	68	26	11	14	37	3	6	—	—	16	26	211	20
Withdrawal Form (Authorizations)	561	41	52	35	18	16	24	35	2	5	3	—	25	34	285	27

TABLE 4

RETENTION DATA ON ADMISSIONS MATERIALS FOR THOSE WHO APPLY BUT DO NOT ENTER

Admissions Materials	Number Using Form	Not Applicable	Years Retained												Perm.	Not Indicated
			Less Than 1	1	2	3	4	5	6	7	8	9	10	Over 10		
Application Blank	595	7	41	90	97	91	53	93	6	3	1	1	11	21	67	20
Advanced Placement Reports	404	198	31	45	61	64	33	53	5	2	1	2	7	13	32	55
College Bd. Ent. Exam. Reports	467	135	33	53	68	73	40	70	8	1	1	2	7	14	53	44
Correspondence, General	595	7	67	102	104	85	42	88	6	4	1	1	6	15	43	31
Ltrs. of Recommendation	567	35	39	81	95	84	45	94	7	3	1	2	8	21	56	31
Medical Record	461	141	39	60	63	60	36	74	6	3	1	2	6	17	47	47
Readmission Blank	374	228	39	52	44	36	20	44	—	1	1	1	3	11	50	72
Residence, Legal Class. Form	307	295	29	37	30	35	19	36	3	—	1	1	4	6	29	77
Special Actions	480	122	33	61	54	61	37	72	7	2	1	1	6	15	61	69
Transcripts, Other Colleges	599	3	29	66	99	89	52	101	8	4	1	1	12	23	93	21
Transcripts, High Schools	590	12	30	68	93	89	51	102	8	2	1	1	14	23	83	25

Tables 5, 6, and 7 present data on the number of institutions which microfilm those forms tabulated in Tables 2, 3, and 4.

From Tables 2 and 5 we may note that of the 595 institutions using an application blank, forty-four microfilm this form. Also from these two tables it will be noted that of the 428 which retain the application blank permanently, 24 also microfilm this application blank. Of the 488 that keep transcripts from other colleges permanently, 23 also microfilm this form. Of the 464 that keep high school transcripts permanently, 22 also microfilm this document.

When we compare Table 6 with Table 3 it may be noted that of the 579 institutions which retain the academic record permanently, 90 also microfilm this record. Table 7, when compared with Table 4, presents some rather interesting data in that a few institutions in addition to retaining certain admission forms permanently for students who do not enter, also microfilm these particular forms.

While the data presented in the preceding tables are of interest and present a detailed tabulation of the replies from the 602 institutions, many of the institutions replying indicated that certain forms were not applicable to their institution. Therefore, it was decided to pick out those forms which are in common usage by at least 90 per cent of the institutions represented. It is felt that if nine out of ten of the reporting institutions use a particular form, it probably is used by at least 90 per cent of the collegiate institutions over the country. It is also interesting to note the number of institutions which have established something in the way of a destruction program for those forms most commonly used; and whether or not there is any indication of a difference in destruction procedures between public and private institutions, and whether or not these precedures are related to the size of the institution.

Table 8 represents data on the number of institutions retaining these commonly used forms for a period of five years or less.

The total number of institutions reporting are broken down into public and private institutions. Of the 602 institutions represented, 206 are public and 396 are private. Of the 595 using an application blank, 82, or 13.8 per cent retain this form for a period of five years or less. Of these 595, 199 are public institutions of which 37, or 18.6 per cent retain the form for a period of five years or less and 396 are private institutions of which 45, or 11.4 per cent, retain the form for a period of five years of less. It is apparent that a greater per-

TABLE 5

MICROFILM DATA ON ADMISSIONS MATERIALS FOR THOSE WHO ENTER
YEARS ORIGINAL FORM IS RETAINED

Admissions Materials	Total	Less Than 1	1	2	3	4	5	6	7	8	9	10	Over 10	Perm.	Not Applicable	Not Indicated
Application Blank	44	1	—	—	—	—	4	—	1	—	—	4	2	24	—	8
Advanced Placement Record	27	—	—	—	—	1	4	—	—	—	—	3	—	11	—	8
College Bd. Ent. Exam. Reports	24	1	—	—	—	1	4	—	—	—	—	1	1	10	—	6
Correspondence, General	13	—	—	—	—	—	2	—	—	—	—	—	—	8	—	3
Ltrs. of Recommendation	21	—	—	—	—	—	4	—	—	—	—	3	1	9	1	3
Medical Record	17	—	—	—	—	—	2	—	—	—	—	1	1	10	—	3
Readmission Blank	28	—	—	—	—	—	4	—	1	—	—	2	1	13	1	6
Residence, Legal Class. Form	19	—	—	—	—	—	3	—	1	—	—	2	1	10	—	2
Special Actions	34	—	—	—	—	—	4	—	1	—	—	4	1	16	—	8
Transcripts, Other Colleges	46	—	—	—	—	—	4	—	1	—	—	5	3	23	—	10
Transcripts, High Schools	45	—	—	—	—	—	5	—	1	—	—	4	3	22	—	10

TABLE 6

MICROFILM DATA ON REGISTRATION AND RECORDS MATERIALS FOR THOSE WHO ENTER
YEARS ORIGINAL FORM IS RETAINED

Registration and Records Materials	Total	Less Than 1	1	2	3	4	5	6	7	8	9	10	Over 10	Perm.	Not Applic-able	Not Indi-cated
Academic Record	99	—	—	—	—	—	—	1	—	—	—	1	—	90	—	7
Change of Course Card	20	—	1	—	—	—	1	1	—	—	—	1	2	11	—	3
Course Schedule Card	32	—	1	—	—	—	3	—	1	1	—	3	3	12	—	8
Disciplinary Action Notices	35	1	—	—	—	—	2	—	—	—	—	2	—	21	—	9
Fee Assessment Card	11	—	—	—	—	—	—	—	—	—	—	—	—	5	—	6
Grade Rpt.—Instructor's Original	49	—	1	—	—	—	5	—	1	1	—	3	3	24	—	11
Grade Rpt.—Special	19	—	2	—	—	—	1	—	—	—	—	2	1	8	—	5
Grade Rpt.—Student's	9	—	—	—	—	—	1	—	—	1	—	—	—	4	—	3
I.D. Photographs	15	—	—	—	—	—	1	—	—	—	—	—	—	9	—	5
Personal Data Cards	23	1	—	—	—	—	3	—	—	—	—	2	1	14	—	2
Scholastic Action Cards	31	—	—	—	—	—	2	—	—	—	—	3	1	19	—	6
Student Trf. Forms (Curr. Change)	13	—	—	—	—	—	—	—	—	—	—	—	1	7	—	5
Transcript Requests	10	—	—	—	—	—	—	—	1	—	—	—	—	8	—	1
Withdrawal Form (Authorizations)	27	—	—	—	—	—	2	—	1	—	—	2	4	13	—	5

TABLE 7

MICROFILM DATA ON ADMISSIONS MATERIALS FOR THOSE WHO APPLY BUT DO NOT ENTER
YEARS ORIGINAL FORM IS RETAINED

Admissions Materials	Total	Less Than 1	1	2	3	4	5	6	7	8	9	10	Over 10	Perm.	Not Applicable	Not Indicated
Application Blank	3	—	—	—	—	—	1	—	—	—	—	—	—	2	—	—
Advanced Placement Reports	2	—	—	—	—	—	1	—	—	—	—	—	—	1	—	—
College Bd. Ent. Exam. Reports	3	—	—	—	—	—	1	—	—	—	—	—	—	1	—	1
Correspondence, General	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—
Ltrs. of Recommendation	1	—	—	—	—	—	1	—	—	—	—	—	—	—	—	—
Medical Record	4	—	—	—	—	—	1	—	—	—	—	—	—	1	—	2
Readmission Blank	4	—	—	—	—	—	—	—	—	—	—	—	1	2	1	—
Residence, Legal Class. Form	1	—	—	—	—	—	—	—	—	—	—	—	—	—	—	1
Special Actions	3	—	—	—	—	—	1	—	—	—	—	—	—	1	—	1
Transcripts, Other Colleges	3	—	—	—	—	—	1	—	—	—	—	—	—	2	—	—
Transcripts, High Schools	3	—	—	—	—	—	1	—	—	—	—	—	—	2	—	—

TABLE 8
FORMS USED BY AT LEAST NINETY PERCENT OF THE REPORTING INSTITUTIONS WHICH ARE RETAINED FOR A PERIOD OF 5 YEARS OR LESS
(DATA PRESENTED BY PUBLIC AND PRIVATE INSTITUTIONS)

	Total Institutions (602)				Public Institutions (206)				Private Institutions (396)			
	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less
ADMISSIONS MATERIALS												
Application Blank	595	98.8	82	13.8	199	96.6	37	18.6	396	100.0	45	11.4
Correspondence, General	600	99.7	294	49.0	205	99.5	121	59.0	395	99.7	173	43.8
Letters of Recommendation	566	94.0	127	22.4	179	86.9	51	28.5	387	97.7	76	19.6
Special Actions	549	91.2	65	11.8	187	90.8	28	15.0	362	91.4	37	10.2
Transcripts, Other Colleges	601	99.8	29	4.8	206	100.0	12	5.8	395	99.7	17	4.3
Transcripts, High Schools	590	98.0	34	5.8	206	100.0	17	8.3	384	97.0	17	4.4
REGISTRATION AND RECORDS MATERIALS												
Academic Record	602	100.0	—0	—0	206	100.0	0	0	396	100.0	0	0
Change of Course Card	557	92.5	359	64.5	195	94.7	109	55.9	362	91.4	250	69.1
Course Schedule Card	583	96.8	278	47.7	201	97.6	75	37.3	382	96.5	203	53.1
Disciplinary Action Notices	575	95.5	71	12.3	196	95.1	20	10.2	379	95.7	51	13.5
Grade Report—Instructor's Original	594	98.7	69	11.6	205	99.5	15	7.3	389	98.2	54	13.9
Scholastic Action Cards	564	93.7	110	19.5	193	93.7	41	21.2	371	93.7	69	18.6
Transcript Requests	594	98.7	312	52.5	202	98.1	119	58.9	392	99.0	193	49.2
Withdrawal Form (Authorizations)	561	93.2	180	32.1	198	96.1	68	34.3	363	91.7	112	30.9
ADMISSIONS MATERIALS (For applicants who do not enter)												
Application Blank	595	98.8	465	78.2	200	97.1	163	81.5	395	99.7	302	76.5
Correspondence, General	595	98.8	488	82.0	203	98.5	175	86.2	392	99.0	313	79.8
Letters of Recommendation	567	94.2	438	77.2	179	86.9	141	78.8	388	98.0	297	76.5
Transcripts, Other Colleges	599	99.5	436	72.8	205	99.5	151	73.7	394	99.5	285	72.3
Transcripts, High Schools	590	98.0	433	73.4	205	99.5	153	74.6	385	97.2	280	72.7

centage of public than private institutions are destroying commonly used admissions forms in a period of five years or less.

In reference to registration and records forms, it may be noted that this pattern of destruction does not hold true. For example, a smaller percentage of the public institutions destroy the change of course card within a period of five years or less than do the private institutions. On the other hand, a larger percentage of public institutions destroy transcript requests than do private institutions. Looking at table 8 for admissions forms for those applicants who do not enter, it may be noted that a greater percentage of public institutions destroy these forms within a period of five years or less than do the private. The differences, however, are not particularly significant.

Table 9 presents similar data but with a breakdown according to size of institution. This breakdown according to size is admittedly an arbitrary one. Classified as small institutions are those having an enrollment under 1000, and as large those having an enrollment over 10,000; the remaining institutions are grouped in the medium sized category. Of the 602 institutions represented, 323 are classified as small, 243 as medium sized, and 36 as large institutions. Of the 595 using the application blank, 82, or 13.8 per cent retain this form five years or less. Of the 323 small institutions, 321 use this form of which 34, or 10.6 per cent retain it five years or less. Similarly, 18.1 per cent of the medium sized institutions and 13.9 per cent of the large institutions retain this form five years or less. There is a consistent pattern of a greater percentage of institutions of medium size destroying admissions forms in this length of time than is found in the small or large institution. However, a greater percentage of the small institutions destroy the change of course card, and a greater percentage of the large institutions destroy transcript requests.

In analyzing the returns, it was quite evident that some institutions had embarked upon a positive program of destruction of records within a given period of time. Letters were sent to the registrars of a number of these institutions requesting a detailed statement of their program of retention and destruction and permission to include this in the report. The following are direct quotations from some of the replies received:

(1) From a Medium Sized, Private, Eastern College

"It is the policy of the College of Arts and Sciences to destroy the following materials:

TABLE 9

FORMS USED BY AT LEAST NINETY PERCENT OF THE REPORTING INSTITUTIONS WHICH ARE RETAINED FOR A PERIOD OF 5 YEARS OR LESS (DATA PRESENTED BY SIZE OF INSTITUTION)

	Total Institutions (602)			Small Institutions (323)			Medium Institions (243)			Large Institutions (36)		
	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less	No. Using Form No.	% of	No. Retaining 5 Years or Less	% Retaining 5 Years or Less
ADMISSIONS MATERIALS																
Application Blank	595	98.8	82	13.8	321	99.4	34	10.6	238	97.9	43	18.1	36	100.0	5	13.9
Correspondence, Gen.	600	99.7	294	49.0	322	99.7	143	44.4	243	100.0	133	54.7	35	97.2	18	51.4
Letters of Recommendation	566	94.0	127	22.4	316	97.8	56	17.7	218	89.7	64	29.4	32	88.9	7	21.9
Special Actions	549	91.2	65	11.8	293	90.7	29	9.9	224	92.2	33	14.7	32	88.9	3	9.4
Transcripts, other Colleges	601	99.8	29	4.8	323	100.0	8	2.5	242	99.6	19	7.9	36	100.0	2	5.6
Transcripts, High Schools	590	98.0	34	5.8	313	96.9	7	2.2	241	99.2	23	9.5	36	100.0	4	1.1
REGISTRATION AND RECORDS MATERIALS																
Academic Record	602	100.0	0	0	323	100.0	0	0	243	100.0	0	0	36	100.0	0	0
Change of Course Card	557	92.5	359	64.5	287	88.9	195	67.9	234	96.3	142	60.7	36	100.0	22	61.1
Course Schedule Card	583	96.8	278	47.7	307	95.0	160	52.1	241	99.2	102	42.3	35	97.2	16	45.7
Disciplinary Action Notices	575	95.5	71	12.3	307	95.0	39	12.7	233	95.9	30	12.9	35	97.2	2	5.7
Grade Report—Instructor's Original	594	98.7	69	11.6	317	98.1	37	11.7	241	99.2	23	9.5	36	100.0	9	25.0
Scholastic Action Cards	564	93.7	110	19.5	301	93.2	63	20.9	231	95.1	42	18.2	32	88.9	5	15.6
Transcript Requests	594	98.7	312	52.5	319	98.8	135	42.3	239	98.4	145	60.7	36	100.0	32	88.9
Withdrawal Form (Authorizations)	561	93.2	180	32.1	287	88.9	85	29.6	239	98.4	83	34.7	35	97.2	12	34.3
ADMISSIONS MATERIALS (For applicants who do not enter)																
Application Blank	595	98.8	465	78.2	321	99.4	240	74.5	238	97.9	194	81.5	36	100.0	31	86.1
Correspondence, Gen.	595	98.8	488	82.0	318	98.5	249	78.3	242	99.6	206	85.1	35	97.2	33	94.3
Letters of Recommendation	567	94.2	438	77.2	315	97.5	233	74.0	219	86.0	176	80.4	33	91.7	29	87.9
Transcripts, other Colleges	599	99.5	436	72.8	321	99.4	226	70.4	242	99.6	191	78.9	36	100.0	28	77.8
Transcripts, High Schools	590	98.0	433	73.4	313	96.7	220	70.3	241	99.2	193	80.1	36	100.0	29	80.6

A. Within one year of the completion of an academic year:
   1. Registration cards
   2. Elective cards which indicate course program for the particular year
   3. Class rosters

B. Within five years from the date of withdrawal or graduation of the student:
   1. Complete academic folder which contains:
      a. all admissions materials
      b. all correspondence
      c. any probationary or disciplinary notices
   2. All grade report forms
   3. Rank cards
   4. Permanent cards

C. Retained permanently:
   1. Permanent record card
      This carries the complete academic record. In addition, notations concerning the following are transferred to back of record card for future reference.
      a. professors' names
      b. disciplinary or probationary action
      c. cumulative averages and final average and rank

With this 'program of destruction' we find that it is possible to keep all current records in the central office (which is not too large), and within convenient reach of the class recorders. It has enabled us to limit our back file on admissions materials, etc., to eight legal size four-drawer filing cabinets. This has given us triple space in our file room for the retention of the permanent record cards.

We encounter occasional difficulties with reference to completing recommendations for former students. But the administration feels that such recommendations can be based on academic achievement. The permanent record card bears sufficient information for more than adequate reference."

(2) From a Medium Sized, Public, Eastern University

"Our policy in regard to the destroying of admissions, registration, and records material falls into several categories.

GROUP I—In this group are all the applicants who applied for admission and for one reason or another did not enroll. Massachusetts has a Fair Educational Practices Act. By law we are required to keep such records at least two years. This means that at the present time we have the envelopes for all of those who have applied for admission in

the fall of 1959. We also have the envelopes for those who applied in the fall of 1958 and the fall of 1957. Sometime this coming fall we will destroy the envelopes for those who applied in the fall of 1957.

GROUP II—This group includes the envelopes carrying the admissions, registration, and records material for those who entered the University. We keep such envelopes for five years after the student graduates. Thus we have the envelopes for all of those who are in college during the year 1958-59. We also have the envelopes for the classes of 1958, 1957, 1956, 1955, and 1954. This fall we will destroy the envelopes for the class of 1954.

We have been forced to adopt such a policy for the simple reason that we do not have space in which to keep records beyond these dates. Frankly, we have not been inconveniencd by following such a policy.

Of course, you must realize that we do have a permanent record for each student who has entered the University. On this we have all his grades and any other information that is significant. These permanent record cards are never destroyed. They are all filed in the registrar's office. We have a microfilm copy of each record stored in another place, so that in case of loss in the registrar's office the student's record is still available."

(3) From a Medium Sized, Private, Midwestern University

"Files can become so cluttered, as you well know. We believe that if a person has once established a folder concerning his admission and does not come to the campus, that his records can be rightfully thrown away. Concerning admission, these records could be replaced. Concerning transcripts, where we feel rather certain the person's address is the same, or might be, we generally would return the transcripts to him at our expense, or if a person has applied for admission here and states that he isn't coming and would like his transcript, we often will return this to him. General correspondence we do keep for three years but no longer. Here again we feel this could be replaced. We have been lucky for we have run into no serious problems on this. Yes, several times we have had people who applied for admission some years before eventually wanting to come here. If we have destroyed his records, we ask him to make application again. We believe this is the lesser of two evils. The other being this matter of storage and filling your files with folders that will never materialize as to some specific action."

(4) From a Medium Sized, Public, Midwestern College

"Records retention follows a definite policy with us. We have a planned date of destruction for every document which comes into this office. We retain permanently only one record and that is the Permanent

Record. This document is kept on one hundred per cent linen rag paper for that purpose alone. Everything written on it is in typewriter or permanent ink. This document is made up as the result of the student's application and a copy is sent to him for verification before he ever shows up at the college. He may obtain a copy of it without charge at any time, after he attends his first class and forever thereafter.

All materials leading to the admission to this college of a student, namely, his Application for Admission with Advanced Standing, Application for Admission as an Adult Special, Application for Re-admission, etc., and transcripts from each of the colleges involved are maintained in a numbered file pocket until such time as a student graduates with his bachelor's degree. The file pocket is cleaned out and all preliminary documents of this sort are thrown away when the Permanent Record, newly inscribed with the information concerning his graduation, is placed into the file pocket. Along with this Permanent Record go his clearance for graduation and his running balance sheet for the degree. Five years later, these documents other than the Permanent Record are removed from the file pockets and destroyed. Because so many school teachers take work only spasmodically, these undergraduate materials in the file pockets sometimes remain there for periods as long as 35 years.

Add and Drop Forms, Registration Forms, and similar materials which result only in additions and deletions from the Permanent Records, are retained in this office for only the current session. We destroy these materials routinely each year during the Christmas Holidays.

IBM Classcards are destroyed three months after the results have been printed on the Permanent Records.

The next nearest thing to a Permanent Record which we retain for five years is the Quarterly Report made by each instructor of the student's marks obtained in his classes. We retain these for a period of five years. We bind these with spiral binders, along with the reports of "Incompletes" given by the same instructors in the same classes. Similarly, we retain for a period of five years the student's Program Card which was filled out during the registration process and maintain thereafter to show clearly and authoritatively precisely the courses for which he was registered and for which he should have been given credit. These are IBM sized cards and contain complete IBM printed information about the student along the top edge of the card. These cards are keyed to the season by colors and their precise dates are punched in the cards themselves.

When a student makes application for admission here and does not arrive, we place all the materials about him in a numbered file pocket in a separate location and retain the materials for twelve months, dis-

carding the file pocket as a whole during the Christmas Holidays.

I am flattered that you would like to know how this destruction schedule works. To be sure, there are a few, rare occasions when it would be more convenient to have everything at hand. However, we work on the 'principle of regret' which might be defined quite well as regret over not having a reference handy versus regret over not having any space to sit. Since the essential information is at hand in at least one form, it would not be proper to say that we have destroyed any really necessary information about any student at any time. In my four years on this job, there have been precisely two incidents in which lack of information caused anything more serious than a slight delay in producing the facts. Overwhelmingly, therefore, our experience in carrying out a program of planned destruction of nonessential documents has been successful. On the other hand, the amount of time, labor, and filing space saved as a result of this program is enormous.

Our recommendations are implicit from the above, and we recommend these periods of retention to our colleagues as being entirely workable and productive of nothing but good results. It seems absurd to me that anyone should consider keeping such mountains of material permanently when it is possible to carry out a planned program and to amend that program whenever experience indicates the wisdom of a change."

(5) From a Large, Public, Midwestern University

"If the term 'records' encompasses all information concerning a given student, such as the initial correspondence with the student, the application for admission, the high school record, the student's individual schedule for each semester or session, and the grade cards for each course completed by the student, then we do destroy many records.

The Director of Admissions is responsible for the initial contact with the student, including his application for admission and transcripts from other institutions and high school. Once a student has been admitted and is registered and attending class, the Office of Admissions turns over the folder for each student to the Registrar, who sets up a permanent academic record card. This folder is retained and supplemented from time to time with any additional correspondence or other materials which may seem essential. The folders are held for approximately seven to nine years after the date of the student's admission to the University. The folder of a student who is admitted to the University but who fails to attend is held in the Admissions Office for approximately sixty days. During this time the student is sent what we call a 'thirty-day letter' which gives him thirty days in which to request that his application be re-activated for a future semester. At the end

of sixty days if he or she has not replied and requested re-activation of the application, the entire folder is destroyed. Folders for students who have applied but who, for one reason or another, were not admitted to the University are destroyed.

For students who have attended the University, all folders are retained in what we call 'Central File,' and periodically the Central File is purged of all folders for students who have not been in attendance for a period of from two to five years. The contents of the folders purged are microfilmed, and after the film has been examined, the entire folder is destroyed.

It does not seem essential to keep indefinitely such things as schedule change authorizations, individual student's schedule cards, and other similar information which can be collected from time to time. This kind of information is usually kept during the semester and for approximately one year after the end of the semester in question. At that time this material is discarded. Grade cards on which the instructors have placed the student's grade for each course are microfilmed periodically. Generally, these cards are microfilmed one year after the end of the semester for which the card was issued, and never later than five years after the end of the semester. This permits some flexibility in microfilm operations. All grade cards, even though they are microfilmed, are retained for a period of not less than five years. These cards are retained for a five-year period in order to use them for statistical studies, such as grade distribution, class averages, etc. After five years these cards are also destroyed.

To date, permanent academic records have not been destroyed, nor have they been microfilmed."

(6) From a Medium Sized, Private, Eastern University

"In general, our system is to bind our permanent records four years after a class graduates. At this time the students' folders, which contain the application forms, transcripts, if any, from other colleges and universities, personal endorsements, internal petition replies, and other miscellaneous material are destroyed. We do keep, of course, the permanent record indefinitely along with the grade sheets from the various departments and some other material which would allow us to reconstruct a permanent record if ever necessary. We also have bound copies of catalogues, graduation programs, student directories, etc. all of which allows us to check through on any student (term addresses for example) if necessary.

I personally feel that four years after a class graduates or eight years after the entrance application from high school is filled out that it has little bearing on any questions that might arise thereafter. It takes a

little more thinking and courage of our convictions to destroy records than it does to keep them, and for that reason perhaps the association should help the individual registrars take some positive position on the matter before they are up to their ears in records which are of no use to anyone. The registrar should start taking a professional stand and be prepared to convince others that certain old records are not necessary, if he himself is convinced of that. I do not think that he should merely set himself up to supply what someone might want someday."

(7) From a Large, Public, Midwestern University

"We keep our registration forms for two years and then destroy them along with any changes in registration or related documents. As soon as a student leaves school, we clean out his personnel folder in our office and discard everything except official actions that may have been taken, the application for admission form and the official transcripts therein. We keep the application only because it has proved to be of some value for historical purposes and to answer inquiries from the Civil Service Commision, the F.B.I., etc. We have no real reason at all to retain high school or college transcripts but shall continue to do so as long as our basement storeroom is adequate and that probably will be for several years yet.

I can see no reason at all for even considering microfilming in the future the applications for admission, the transcripts or even the official actions after they have been added to the permanent record.

We have been microfilming our final grade report forms from the staff and then destroying the original forms. We do this normally about one year after the end of a session. We do retain our grade book which is really a bound copy of the student's grade report form for a period of three years and then microfilm the books. We also have been working on a regular program of microfilming our permanent student records about once every five or six years. We do this largely for safety's sake as we do not have a vault of any kind and do not want one.

We have permission of our Veterans Administration Office to destroy records after five years and we do that quite promptly. We also destroy our fee assessment cards after two years with the permission of our state auditors."

(8) From a Small, Private, Southern College

"At the present time, we retain the high school transcript, the current permanent record card and the application and recommendations as long as a student is currently in school with us. A record of the high school transcript, condensed by units is placed in the upper left hand corner of our permanent record card. When the student graduates or has been out

of school for 4 years, we destroy the high school transcript. It is our contention that if the student is going into employment or additional educational work which requires a copy of the high school transcript, he may secure one from the original high school. Most colleges accept other accredited college graduates on their college transcript and do not require the high school grades. When a student transfers to us from another college, we do not transcribe the work from another college to our permanent record card until such time as he graduates. This eliminates considerable typing on our part for those students who do not complete their Bachelors Degree with us. When the student graduates, however, we do copy all of the transfer work on our permanent record card form. After this a phase of our permanent record card reveals the transferred work with grades and semester hours. For this reason, we no longer find it necessary to retain the transcript from a former institution. If the person is applying to a graduate school that requires a copy of the transcript of each institution he has attended, he can always secure another transcript from the original institution. At the time the student graduates, we eliminate a personnel folder which normally contains his application for admission, letters of reference and other correspondence with the individual. If there is correspondence in the folder pertinent to his current program, we will replace this in a general correspondence file.

I established this program of destruction last year and it is a little bit early for me to draw definite conclusions in regard to difficulties which I may encounter later on. Within a 1 year period, I have encountered no difficulties. I reduced my filing space from 20 drawers to a total of 10 drawers.

I anticipate engaging in a microfilm program in the near future which could quite possibly reduce my files even more."

(9) From a Large, Public, Western Junior College

"If you will look at the report we made on your Records Retention Questionnaire, and keeping in mind that we are on a 100% IBM Tabulating System of record keeping, you will note that the records we marked as being up for destruction in certain years are really transient in nature. The data contained on such records in almost every case is reproduced on permanently retained records such as the student's permanent record card. The retention policy, therefore, comes down to as simple a basis as how much space is available. Then, too, we are a two year institution; and we have found from experience that any problem involving a record practically always is cleared up within five years at the most.

Let me single out a specific example: We retain the grade report from the instructor less than a year. The reason for this is that the grade re-

port is a tab card. Once the data contained on it has been transferred to the permanent record card and a copy of the instructor's entire grade sheet has been returned to him for checking, we have no further use of the grade card. Hence its early destruction. Another example would be the transcript request. This is a card filled in by the student. When we send the transcript to an institution, we mail the card back to the student by way of notifying him that action has been taken. This saves us making out another notice to the student. The idea was adopted when we suddenly came to the discovery that never once in the entire history of the college had a student questioned us about sending a transcript without his consent."

The data and excerpts presented above show what is being done in the retention of particular forms. The following general conclusions may be drawn.

1. There is a tendency to retain most forms permanently.
2. There appears to be no specific pattern of retention or destruction which differs essentially between public and private institutions or among small, medium, and large sized institutions.
3. In general, all types of institutions tend to keep some records for varying periods of time and all types of institutions have also indicated that they dispose of some records within given periods of time.
4. Most institutions destroy admission forms within five years for those students who apply but do not enter.
5. Relatively few institutions microfilm admission forms (Table 5), while a few more microfilm registration and records forms (Table 6) for their registered students. High school and college transcripts, along with the academic record, are most often microfilmed. In half the cases, however, the forms which are microfilmed are also retained permanently.
6. A minority of institutions have inaugurated specific records control programs for various forms.

CHAPTER III

A Survey of the Legal Implications of Record Retention and Control

IT IS TRUE that collective fear has a great deal to do with the habit of keeping each and every scrap of paper that may or may not save the institution from a legal difficulty. This fear, however, can be minimized through a sound and intelligent knowledge of the laws and the legal implications governing the retention, the destruction, and the copying of records.

The Eighty-second Congress in 1951 amended the United States Code to recognize photographic reproductions of records to serve in lieu of the primary source unless the original documents preserved are required by law. Following this decision, over forty states enacted laws similar to the federal amendment concerning the admissibility of photographic copies of records.

In addition to existing federal and state acts concerning the reproduction and disposition of records, many public and private institutions of higher learning are governed by regulations set either by their charter or by their governing Board of Trustees. These local governing bodies may delegate or pass upon proposals in special instances and thereby set policies which apply to the school or schools under its jurisdiction.

The introduction of a record as evidence in a court action requires that the original record be produced or that a sound copy be established in place of the prototype. In private business, for example, the retention of certain types of records is governed by law, but there is a considerable latitude permitted in the disposition of other records not so governed. For example, records covered by law are the limitations of civil action, income tax data, unemployment insurance and wage stabilization documents. It is concerning the records not covered by statute in which there are the greatest divergencies of opinion. Litigation, time, and legal costs may be saved if, at the time of microfilming, records are maintained which will (1) establish the existence at one time of the paper record, (2) show that the reason for its destruction is free from suspicion of fraud, and (3) establish the accuracy of the microphotographic technique.

So that each registrar may be fully aware of the legal implications of record retention in his and adjoining states, the laws of states governing retention are presented.

ALABAMA

No laws governing the retention of records in collegiate institutions.

ALASKA

No laws governing the retention of records in collegiate institutions.

ARIZONA

Source: Arizona revised statutes; 15-201, 77-710

The mandate of the state statutes governing academic records does not prescribe a definite period for which such records shall be kept. *It is, however, elementary in law that when no period of time is prescribed for the doing of a thing, or for the refraining from doing a thing, then such time shall prevail as is reasonable. An indefinite time must be a reasonable time.*

Arizona must keep all records dealing with the financial activities of our district for a period of five years from the date of audit by duly authorized representative of the state.

In which case, before any records may be destroyed, permission must be obtained from the Department of Archives.

ARKANSAS

Source: *School Laws of Arkansas,* 1957 ed., page 30

A system of permanent records showing clearly all credits (including entrance credits) of the student shall be carefully kept. The original credentials filed from other institutions shall be retained.

CALIFORNIA

> Because of the excellent report submitted by this state it is thought best to reprint it here in its entirety. The policy has no official status beyond that of an internal policy statement but it is the official opinion of the state attorney's office that this policy satement may stand alone as a guide for the state colleges.

Approved by State College Division and Presidents, July 9-10, 1956

A RECOMMENDED POLICY ON RETENTION OF STUDENT RECORDS

All student records are being classified, for purposes of this report, into two classes; active and inactive. Student records have been further defined by limitation to records of the Student Personnel Division. Each recommendation will be briefly stated and then supplemented in a separate

section by reasons. It is assumed that the acceptance by the colleges and the State Department of Education of the recommendations of this report will provide a legal basis for the destruction and retention of student records.

RECOMMENDATIONS:

1. *Student record files be kept under a numeric system*
2. *Active Records*
   a. Active records concerning a student are defined as those records on a student who has been in attendance within a five year period.
   b. Decentralized filing be allowed on active files.
   c. No grade cards be kept, and instructor grade sheets be kept for a five year period, at the end of which time they will be microfilmed and the originals destroyed.
   d. All registration material such as program changes, schedules, permits to register, etc., may be destroyed, at the discretion of the individual college, within a three year period. These records will not become a permanent record of the college.
   e. Upon the graduation of a student or receipt of information that a student is not returning to school all counseling records be destroyed except that a summary sheet of pertinent material be prepared and sent to the Admissions Office for filing in the student's folder.
   f. In matters dealing with the Veterans Administration only the last action paper (Admissions only) be maintained.
   g. Selective Service information to be kept only on active individual students.
   h. Active placement and medical records are treated elsewhere in this report.
3. *Inactive Records*
   a. Retention of inactive records should be limited to the transcript or permanent record including the transcript(s) of that student from other collegiate institutions attended, the instructor grade sheets, and one other document which would be a combined activity and test record.
   b. Upon becoming inactive, student records should be microfilmed. Each college should be allowed to purchase a high grade microfilm camera, one that is as foolproof as possible and can be operated efficiently by lower grade clerks. Each Admissions Office should be equipped with a high grade, electrically operated microfilm reader with attachments for reproducing individual records.
4. Microfilms of inactive student records be made in duplicate with one film being kept in a central State depository. The choice of the microfilm style to be at the discretion of the individual college.

5. A committee of specialists should be established and requested to investigate the field of maintenance of teacher placement records.
6. A committee of specialists with legal assistance should be set up to investigate the problem of retention of student health and medical records.

RECOMMENDATIONS WITH REASONS:

1. *Student Record Files Be Kept Under A Numeric System*

   Numeric filing lends itself to economy in space and labor. Most of the colleges have now converted their recent records at least to the numeric system and have found it easier to use. All department offices within the Student Personnel Division can be tied into a central numeric system based upon the numbers used in the Admissions Office. This will simplify the transfer of records to the Admissions Office.

2. *Active Records*

   a. *Active records concerning a student are defined as those records on a student who has been in attendance within a five year period.*

   During the first few years after graduation there is apt to be a considerable amount of activity in the records of any given student, hence the full record is important. There is no simple way of determining whether a student who has not re-registered at any given quarter or semester has left permanently or is just dropping out for a period of time. Many students periodically drop out of school for a part or all of a year to work. They might transfer to another institution for a period. The Selective Service often takes them out of school for a two year period and many students after graduation take jobs but ultimately return for graduate study. When a student returns it is important to have his entire record. Realizing that in many instances a student file, when that student is no longer in attendance, could be reviewed and unnecessary material discarded thus saving considerable filing space, we still must keep in mind that this review of the record is an expensive process. It is our feeling that if this student record were kept intact for a period of five years after the last period in which the student was in attendance in very few instances would that student return to us. Furthermore, after that period of time most of the earlier subsidiary records would be of little or no value. The additional filing space required under this recommendation would be more than offset by the saving in labor which would be made by reviewing the records only once during their entire life. This does not mean that officers should not be encouraged to constantly review, as time permits, student records for purposes of weeding out unnecessary material. This recommendation

concerns itself with the planned periodic review made for the sole purpose of discarding unnecessary material.

b. *Decentralized filing be allowed on active files.*
Under present circumstances most of the colleges find themselves with facilities rather widely scattered. Health offices are in one area, counseling facilities in another, placement in a third, with all of them apt to be a considerable distance away from the Admissions office. Storage space in Admissions offices in present quarters is, except in one or two instances, inadequate.
Physically it would be nearly impossible to attempt to centralize all student records during their active life. When modern administrative buildings have been provided and offices from which these student records originate are in a central area then a central numeric filing system could be used advantageously.

c. *No grade cards be kept and instructor grade sheets be kept for a five year period.*
The original grade sheet should be maintained for a five year period because there is a great amount of activity in the years immediately following a student's graduation such as transcript requests, credential matters, and military referrals. Since this grade sheet is the basic original record and experience has proven that there is always the possibility of an error, we feel the instructor grade sheet should be microfilmed after the five year period.

d. *All registration material such as schedules, program changes, permits to register, etc., be destroyed within a three year period.*
These documents have value for purposes of double checking progress, etc., for a period not to exceed three years.

e. *Upon graduation of a student or receipt of information that he is not returning to school all counseling records be destroyed except that a summary sheet be prepared, sealed in an envelope, and sent to the Admissions Office for filing in the student's folder.*
Many of the counseling records quickly outlive themselves or can easily be summarized as scores, interests, etc., and the original detail destroyed with no harm done. We feel that the saving in space will be sufficient to warrant a review of the counseling record when a student graduates or indicates that he is leaving school permanently. The essential information on that student could be recorded on a single sheet of paper, and forwarded to the Admission Office for filing with his active record for the five year period, and then committed to microfilm. Counseling data of a highly confidential nature should not be microfilmed. This pertinent material should either be destroyed or kept in a confidential file in the Counseling Center.

f. *In matters dealing with the Veterans Administration only the last action paper be maintained.*
Certificates of eligibility, notice of authorization to commence training and other Veterans Administration records of that nature find their way to the Admissions Office and to the student folder. The only record of importance to us is the last one of these action papers. When that authorization is received, processed, and filed in the student folder, it would be a simple matter to remove the previous action paper. The last paper has all the pertinent information on it and all necessary references so that if the need arises for us to review the student's history in connection with his program under the Veterans Administration we would need only refer to the Regional Office of the Veterans Administration and all information would be available to us.

g. *Selective Service information be kept only on individual students.*
The local Selective Service office maintains a complete set of records on any given student and can be relied upon for our needs. In the schools checked we found that there had been no occasion to refer to the individual student record for Selective Service information after graduation. Master lists showing rank of each student as required by Selective Service is not, for purposes of this report, considered as a student record.

3. *Inactive Student Records*

a. *Retention of inactive student records should be limited to the transcript or permanent record including the transcript(s) of the student from other collegiate institutions attended, the instructor grade reports, and one other document which would be a combined activity and test record.*
After a five year period there is little activity in the student record other than for placement purposes. Colleges all over the country have complained about the number of records they are required to keep on a permanent basis but few of them appear to have had the courage to destroy any records. They are afraid of the time when someone will ask them a question about a former student which they will be unable to answer. Under the plan proposed in this study a minimum of information will be kept permanently and there will be requests for information from time to time which we will be unable to supply. A comparison of the cost of maintaining a complete record with the number of requests and the reasons for those requests convinced this committee that the maintenance of a complete record would be too expensive for the value received. Because there will undoubtedly always be studies attempting to determine the value

of testing and of extra curricula activities, we believe it is valuable to maintain some record of a student's activity program and the results of various test scores which he accumulated during his collegiate career. While much of this material could undoubtedly be discarded after a fifteen year period the labor involved in such an operation would be considerable resulting in a recommendation on our part that each college develop a single sheet combining the activity program of the student along with essential test scores. This would be in effect a permanent activity and test record supplementing the permanent academic record The colleges contacted felt that it was important to have as a permanent record the entire academic record of a student including units earned at other collegiate level institutions. It would be cheaper to microfilm a lengthy transcript that a student might transfer with him from another institution than it would be to type those transfer credits onto the permanent record of our institution. Furthermore, some colleges are already finding it difficult to include on a single record sheet the units taken at their institution without attempting to transcribe to that sheet courses completed at other institutions.

b. *Upon becoming inactive, student records should be microfilmed. Each college should be allowed to purchase a high grade camera and each Admissions Officer a microfilm reader with attachments for reproducing individual records.*

We were convinced that microfilming was the only answer to the storage problem on permanent records. One needs only to review the volume in records at some of our older and larger schools to see how tremendous the volume can become. Microfilming reduces the volume to a fraction, can be easily stored and can make records readily available when needed either for inspection or reproduction. It is important that microfilming equipment be of high quality, as foolproof as possible and be such that it can be operated by Junior and Intermediate Clerks. We could not accept the idea of a centralized microfilming service because this would take the original records away from the campus and out of the custody of the school. This is a risk we cannot take. Furthermore, we must be able to review the film to see whether or not the picture is adequate prior to the time the original document is destroyed. The microfilming camera would not need to be available solely to the Student Personnel Division but could be placed in the custody of a central duplicating office such as most colleges have thus making it available to the entire college. The library and other departments have many valuable uses for microfilm material thus giving greater utilization of the equipment. The

initial cost of the microfilming equipment would be considerable but would soon pay for itself in reduced cost of filing equipment, filing labor and storage space.

4. *Microfilms of Inactive Student Records Be Made In Duplicate With One Film To Be Kept In A Central Depository.*
   We believe that the permanent record of a student must be maintained and safeguarded. In view of the world situation we are recommending that the State establish a central bomb-proof depository and that one filmed image of each permanent record be filed in that depository. (Now established, see C/L 57-38.)
5. *A Committee Of Specialists Should Be Established And Requested To Investigate The Field of Maintenance of Teacher Placement Records.*
   Placement records involve more than the academic record of a student, in fact represent his entire collegiate activity. This seemed to be an area worthy of detailed study by people more fully qualified in the field than were members of this committee. Teacher placement records are active during most of the life of the teacher whose record we are considering. Traditionally teacher records are voluminous. A cursory examination on our part convinced us that the number of records now being considered necessary could be condensed without loss of valuable material. Undoubtedly a comprehensive study in this area would result in savings in time, filing equipment and storage space. Being essentially teacher training institutions our problem is greater than most other colleges.
6. *A Committee of Specialists With Legal Assistante Should Be Set Up To Investigate The Problem of Retention of Student Health And Medical Records.*
   The State has now entered into a program of student health service. Inquiries by this committee into this field indicated that there was a legal question to be solved on maintenance of medical and health records. This question should be solved early and any committee investigating it should have the benefit of legal advice. Presently our colleges, as well as others all over the country, are keeping detailed medical records and are afraid to destroy any of them. The accumulation within the next few years will be tremendous.

COLORADO

The following is an exact copy of the Public Records Act and the Uniform Photographic Practices Act for Colorado. Within the state of Colorado the records officer for each college and university acts as the liaison officer in its consultation with the state Archivist whenever a records problem is under consideration.

DIVISION OF STATE ARCHIVES AND PUBLIC RECORDS

Source: Colorado Revised Statutes 1953; 131-2-7, Article 3

131-3-3. Determination of value of records—disposition.—Every public officer who has public records in his custody, shall consult periodically with the archivist of the division of state archives of the state historical society of Colorado and the attorney general of the state, and such three officers shall determine whether the records in question are of legal, administrative or historical value. Those records unanimously determined to be of no legal, administrative or historical value shall be disposed of by such method as such three officers may specify. A list of all records so disposed of, together with a statement certifying compliance with this article, signed by such three officers shall be filed and preserved in the office from which the records were drawn and in the files of the archivist. Public records in the custody of the said archivist may be disposed of upon a similar determination by the attorney general, the archivist, and the head of the agency from which the records were received, or its legal successor.

131-3-4. Transfer of records to archives.—Those records deemed by the public officer having custody thereof to be unnecessary for the transaction of the business of his office, and yet deemed by the attorney general or the archivist to be of legal, administrative or historical value, may be transferred with the consent of the archivist, to the custody of the division of state archives of the state historical society of Colorado. A list of all records so transferred, together with a statement certifying compliance with this article, signed by such three officers, shall be preserved in the files of the office from which the records were drawn and in the files of the said division of state archives.

131-3-5. Disposal of records.—All public records of any public office, upon the termination of the existence and functions of that office, shall be checked by the archivist and the attorney general and either disposed of or transferred to the custody of the said division of state archives, in accordance with the procedure of this article and the findings of such two officers. When a public office is terminated or reduced by the transfer of its powers and duties to another office or to other offices, its appropriate public records shall pass with the powers and duties so transferred.

131-3-6. Protection of records.—The division of state archives of the state historical society of Colorado, and every other custodian of public records, shall carefully protect and preserve them from deterioration, mutilation, loss or destruction and, whenever advisable, shall cause them to be properly repaired and renovated. All paper, ink and other materials used in public offices for the purpose of permanent records shall be of durable quality.

The introduction of a reproduced record, enlargement or fascimile, does

not preclude admission of the original. This shall not be construed to exclude from evidence any document or copy thereof which is otherwise admissible under the rules of evidence.

131-3-7. Reproduction on film—evidence.—Any public officer of the state or any county, city, municipality, district or legal subdivision thereof, may cause any of all records, papers or documents kept by him to be photographed, micro-photographed or reproduced on film. Such photographic film shall comply with the minimum standards of quality approved for permanent photographic records by the national bureau of standards and the device used to reproduce such records on such film shall be one which accurately reproduces the original thereof in all details. Such photographs, microphotographs or photographic film shall be deemed to be original records for all purposes, including introduction in evidence in all courts or administrative agencies. A transcript, exemplification, or certified copy thereof, for all purposes recited herein, shall be deemed to be a transcript, exemplification, or certified copy of the original.

Whenever such photographs, microphotographs or reproductions on film properly certified shall be placed in conveniently accessible files and provisions made for preserving, examining and using the same, any such public officer may cause the original records from which the photographs or microphotographs have been made, or any part thereof, to be disposed of according to methods prescribed by sections 131-3-3 to 131-3-6. Such copies shall be certified by their custodian as true copies of the originals before the originals are destroyed or lost, and the copies so certified shall have the same force and effect as the originals. Copies of public records transferred from the office of their origin to said division of state archives of the state historical society of Colorado, when certified by the archivist or the assistant archivist, shall have the same legal force as if certified by the original custodian of the records.

131-3-10. Disagreement as to value of records.—In the event the attorney general and the archivist determine that any records in the custody of a public officer including the archivist of the state, but not those in the custody of a public officer of any county, city, municipality, district or political subdivision thereof, are of no legal, administrative, or historical value, but the public officer having custody of said records or from whose office records originated fails to agree with such determination or refuses to dispose of said records, the attorney general and the archivist may request the governor to make his determination as to whether said records should be disposed of, in the interests of conservation of space, economy or safety. The archivist through the division of state archives of the state historical society of Colorado, at the end of each calendar year, shall report to the governor which records have been destroyed, or transferred, or otherwise processed during the year.

UNIFORM PHOTOGRAPHIC COPIES OF BUSINESS AND PUBLIC RECORDS AS EVIDENCE

SECTION 1. If any business, institution or member of a profession or calling, or any department or agency of government, in the regular course of business or activity has kept or recorded any memorandum, writing, entry, print, representation or combination thereof, of any act, transaction, occurrence or event, and in the regular course of business has caused any or all of the same to be recorded, copied or reproduced by any photographic, photostatic, microfilm, micro-card, miniature photographic, or other process which accurately reproduces or forms a durable medium for so reproducing the original, the original may be destroyed in the regular course of business unless held in a custodial or fiduciary capacity or unless its preservation is required by law. Such reproduction, when satisfactorily identified, is as admissible in evidence as the original itself in any judicial or administrative proceeding whether the original reproduction is in existence and available for inspection under direction of the court.

SECTION 2. This act shall be so interpreted and construed as to effectuate its general purpose of making uniform the law of those states which enact it.

SECTION 3. This act may be cited as the Uniform Photographic Copies of Business and Public Records as Evidence Act.

SECTION 4. All acts or parts of acts which are inconsistent with the provisions of this act are hereby repealed.

SECTION 5. The General Assembly hereby finds, determines and declares that this act is necessary for the immediate preservation of the public peace, health and safety.

CONNECTICUT

No laws governing the retention of records in collegiate institutions.

DELAWARE

Source: Delaware Code Annotated. 3327, chapter 33, title 29.

According to state statute 3327, Chapter 33, Title 29 of the *Delaware Code Annotated*, "No officer of any court, department, board, commission, or agency of the state of Delaware . . . shall destroy, sell, or otherwise dispose of any public document or official correspondence in his care or custody or under his control . . . without first having advised the Public Archives Commission of their nature, and obtain its written consent."

FLORIDA

Source: Chapter 57-66, House Bill No. 204

An act providing an alternative procedure for the photographing and destruction of public records.

SECTION 1. Any state, county, or district officer, board, department, commission, institution, or other such agency may apply for permission to destroy any public records in the custody of the applicant, either with or without photographing the records prior to their destruction. The application shall be submitted to the secretary of state, the attorney general, and the state auditor, which officers shall constitute ex-officio the public records screening board. The public records screening board may approve or disapprove the application, and if it approves it shall specify whether the records shall be photographed prior to their destruction. The public records screening board shall inform the state librarian of its approval of an application to destroy public records. Upon the request of the state librarian, any public records the destruction of which has been approved by the public records screening board shall be delivered into the custody of the state librarian and shall not be destroyed except at his discretion. Photographs made pursuant to this law shall have the same force and effect as the originals thereof would have. Section 92.35, Florida Statutes, relating to admissibility in evidence, is applicable to public records photographed pursuant to this law. This law is supplemental in nature and provides an alternative procedure to other provisions of law authorizing the photographing of public records.

Source: Chapter 57-378, Senate Bill No. 804

An act providing for the preservation and the methods of destroying county school system records by the county superintendent of public instruction, setting the manner and methods records may be preserved, the effect such processing of records will have as to their admissibility in evidence, and which records may be destroyed by the county superintendent of public instruction and the period required to hold same before destruction.

BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF FLORIDA

SECTION 1. The purpose of this section is to reduce the present space required by the county schools systems for the storage of their records and to permit the County Superintendent of Public Instruction to administer the affairs of the county school system more efficiently.

SECTION 2. The County Superintendent of Public Instruction is authorized to photograph, microphotograph, or reproduce on film or prints, documents, records, data, and information of a permanent character which in his discretion he may select, and the County Superintendent of Public Instruction is authorized to destroy any of the said documents after they have been photographed and after audit of his office has been completed for the period embracing the dates of said instruments. Photographs or microphotographs in the form of film or prints made in compliance with the provisions of this section shall have the same force and effect as the originals thereof would have, and shall be treated as originals for the

purpose of their admissibility in evidence. Duly certified or authenticated reproductions of such photographs or microphotographs shall be admitted in evidence equally with the original photographs or microphotographs.

SECTION 3. The County Superintendent of Public Instruction is authorized, in his discretion, to destroy general correspondence which is over three years old and other records, papers and documents over three years old which do not serve as part of an agreement or understanding nor have value as permanent records.

GEORGIA

No laws governing the retention of records in collegiate institutions.

HAWAII

No laws governing the retention of records in collegiate institutions.

IDAHO

No laws governing the retention of records in collegiate institutions.

ILLINOIS

Source: Illinois Revised Statutes; Chapter 144, Paragraph 5B, 1957

Scholastic records—Discontinued institution. To ascertain whether the governing authorities of any university, college, academy, or institution of learning in this state which is being discontinued or has been discontinued are making or have made adequate arrangements for the safekeeping in this state of the scholastic records of pupils for the purpose of reference by said pupils; to keep on file a record of any such arrangements; and, if such arrangements are not being made, to request the scholastic records for safekeeping by him for said purpose.

Scholastic records on discontinuance of institutions of learning. The governing authorities of any university, college, academy, or other institution of learning existing under special law or any law relating to corporations shall prior to the discontinuance of any such school or institution of learning make adequate arrangements for the later safekeeping in this state of all scholastic records of its former students for the purpose of such reference as said students may need to make of them, either by depositing such records with the Superintendent of Public Instruction or otherwise. (Added by Act approved July 17, 1943.)

INDIANA

No laws governing the retention of records in collegiate institutions.

IOWA

PERPETUATION OF COLLEGE CREDITS

Source: Chapter 264, 1958 Code of Iowa

264.1 Mandatory transfer of record of credits. The trustees or officers of any institution of higher learning, whether incorporated or not, upon going out of existence or ceasing to function as an educational institution must transfer to the office of the Registrar of the State University of Iowa complete records of all grades attained by its students.

264.2 Central depository. The office of the registrar of the state university is hereby designated the central depository for the scholastic records of those educational institutions in this state which may thereafter cease to exist.

264.3 Duty of depository. The office of the registrar of the state university shall proceed to collect the scholastic records of those educational institutions which may become extinct, and he shall have the supervision, care, custody and control of said records.

264.4 Transcripts. The registrar of the state university shall prepare transcripts of such scholastic records and when requested to do so he must furnish a copy of the said transcript to a former student. Whenever such transcript is made and after it has been compared with the original it shall be certified by the registrar of the state university, and thereafter it shall be considered and accepted as evidence for all purposes the same as the original would be.

264.5 Fees. For the preparation of each such transcripts the state university may charge a nominal fee, not to exceed five dollars, to compensate the institution for the actual labor of recording the credits, preparing a transcript, postage, etc.

264.6 Penalty. The members of the board of trustees and the officers of an institution of higher learning who do not file, in accordance with the provisions of this chapter, the record of grades in the office of the registrar of the state university within twelve months after the said institution has been closed or has ceased to function as an educational institution may be fined an amount not to exceed five hundred dollars.

264.7 Records of prior defunct institutions. The office of the registrar of the state university is hereby designated the central depository for the records of any institution of higher learning which prior to the passage of this chapter may have ceased to exist, provided the custodian of the said records or former officials of the institution may wish to take advantage of the provisions of this chapter.

KANSAS

No laws governing the retention of records in collegiate institutions.

KENTUCKY

No laws governing the retention of records in collegiate institutions.

LOUISIANA

Source: *Section 36.* Preservation of records

All persons having custody or control of any public record, other than conveyance, probate, mortgage or other permanent record required by existing law to be kept for all time, shall exercise diligence and from the date on which the public record was made. However, where copies of an original record exist, the original alone shall be kept. When only duplicate copies of a record exist, only one copy of the duplicate copies need be kept.

All existing records or records hereafter accumulated by the department of revenue may be destroyed after five years from the thirty-first day of December of the year in which the tax to which the records pertain became due; provided that these records shall not be destroyed in any case where there is a contest relative to the payment of taxes or where a claim has been made for a refund or where litigation with reference thereto is pending. As amended Acts 1950, No. 134, Section 1; Acts 1954, No. 473, Section 1.

MAINE

The commissioner shall further collect all records of educational institutions within the state which are now extinct, or shall hereafter become extinct, and shall deposit all such records in a place of safety and accessibility for future preservation and use.

MARYLAND

Records of state educational institutions are governed by the provisions of Article 41, Section 178, which requires the retention of record material for at least three years. No other references stating the specific retention period for records of colleges and universities were found.

MASSACHUSETTS

No laws governing the retention of records in collegiate institutions.

MICHIGAN

Source: Section 296 of the Michigan School Code (Sec. 340.267, Michigan Compiled Laws, 1948)

The trustees of any college or other institution of learning, whether incorporated or not, upon going out of existence or ceasing to function as an educational institution, shall turn over its records of all grades attained by its students to the superintendent of public instruction to be preserved by him as a central depository of this material.

Source: Section 296 (Sec. 340.268, C. L. 1948) reads:

The office of the superintendent of public instruction is hereby designated

the central depository for the records of such educational institutions in this state as have ceased to exist or may cease to exist in the future. The superintendent of public instruction shall, where possible, collect the records of such educational institution extinct, or hereafter becoming extinct, and have the supervision, care, custody and control of said records. He shall, when requested, prepare transcripts of such grade records, which may at any time become necessary to the former student for further scholastic work at other institutions, for certification for teaching or for other professional positions. Whenever such transcript is made and after it has been compared with the original, it shall be certified by the superintendent of public instruction and shall thereafter be considered and accepted as evidence for all purposes, the same as the original could be.

MINNESOTA

No laws governing the retention of records in collegiate institutions.

MISSISSIPPI

No laws governing the retention of records in collegiate institutions.

MISSOURI

Source: Letter from George B. John, Dir. School, Law and Administrative Finance 1958.
Matters of record retention and control are to be left to the discretion of the controlling bodies of the universities and colleges.

MONTANA

No laws governing the retention of records in collegiate institutions.

NEBRASKA

No laws governing the retention of records in collegiate institutions.

NEVADA

No laws governing the retention of records in collegiate institutions.

NEW HAMPSHIRE

No laws governing the retention of records in collegiate institutions.

NEW JERSEY

Source: Rule 1814 of State Board of Education under consideration.
Student records.

A. Permanent, cumulative student records, useable for guidance and other institutional purposes, shall be kept for all students.
B. These records shall include at least,
   1. Personal data

2. Scholastic achievement in the high school attended
3. Scholastic achievement in the institution in which enrolled
4. Nature and extent of the student's participation in extracurricular activities
5. A description of the personality development of the student

C. Student records shall be kept in a safe place and shall be available to the Commissioner upon request.

NEW MEXICO

No laws governing the retention of records in collegiate institutions.

NEW YORK

Source: Letter from E. M. Eastman, University of State of New York, 1958.
According to Section 219 of Education Law, the permanent academic records of institutions, upon dissolution, must be filed with the State Education Department. Furthermore, Section 234 of Rules of the Board of Regents specifies that each educational institution must preserve all data relating to admission of applicants for at least three years following the date of admission or exclusion. Section 65 *et. seq.* of Public Officers Law has additional information on public-supported colleges.

NORTH CAROLINA

Source: Letter from H. G. Jones, State Archivist, 1958.
G. S. 132-3 and 121-5 specify that no public official (including a state college official) may destroy, sell, loan or otherwise dispose of any public record without first obtaining the approval of the State Department of Archives and History.

NORTH DAKOTA

No laws governing the retention of records in collegiate institutions.

OHIO

Source: Ohio Revised Code, Chapter 149.
Authorization for the destruction or the retention of all state records must be obtained from the State Records Commission.

OKLAHOMA

No laws governing the retention of records in collegiate institutions.

OREGON

No laws governing the retention of records in collegiate institutions.

PENNSYLVANIA

No laws governing the retention of records in collegiate institutions.

RHODE ISLAND

No laws governing the retention of records in collegiate institutions.

SOUTH CAROLINA

No laws governing the retention of records in collegiate institutions.

SOUTH DAKOTA

No laws governing the retention of records in collegiate institutions.

TENNESSEE

No laws governing the retention of records in collegiate institutions.

TEXAS

No laws governing the retention of records in collegiate institutions.

UTAH

Source: Utah H. B., No. 120

Permission for disposal of public records must be obtained from State Archivist, State Auditor and the Attorney General even though the original records may be on microfilm.

VERMONT

Source: Public Records Commission, Chapter 187, Section 4176

According to Public Records Commission, Chap. 187, section 4176, a custodian of public records must secure authorization from the Public Records Commission before he may destroy, give away, sell, discard or damage any record or records in his charge (unless specifically so authorized by law).

VIRGINIA

No laws governing the retention of records in collegiate institutions.

WASHINGTON

Source: House Bill No. 220, Chapter 246, Laws of 1957.

According to the records management law, Chapter 246, Laws of 1957, the State Archivist is to supervise the retention and destruction of public records not required in the current operation of the office where made or kept. Furthermore, "Official public records shall not be destroyed until they are either photographed, microphotographed, photostated, or reproduced on film, or until they are ten years old, except on a showing of the department of origin, as approved by the records committee, that the retention of such records for a minimum of ten years is both unnecessary and uneconomical: *Provided,* that any lesser term of retention than ten years must have the additional approval of the director of the budget, the state auditor and the attorney general." (from Chapter 246, Laws of 1957)

WEST VIRGINIA

No laws governing the retention of records in collegiate institutions.

WISCONSIN

Source: Wisconsin State Statutes, Section 15.65, 1957
According to Section 15.65 of Wisconsin Statute of 1957, the Committee on Public Records must give approval for the destruction of public records.

WYOMING

No laws governing the retention of records in collegiate institutions.

Also, so that everyone may be aware of the regulations, where they exist, and the attitude of each regional accrediting association, the following excerpts are included in this study.

Mr. Gordon M. Sweet, Executive Secretary of the Southern Association of Colleges and Secondary Schools states that this organization does not spell out in its standards specific regulations regarding the retention, control, and preservation of academic records. When a college is visited for accrediting or when it is re-visited in the process of re-affirmation, the investigating committee examines the completeness and availability of student records. It places emphasis upon the protection of records from loss by fire or water damage and *encourages, but does not require, the microfilming of academic records.* The equipment factor is important as it determines the protection of records in the registrar's office and also, as it effects the registrar's economy of operation. In the standards for senior colleges the following statement appears. "Provision should be made for handling students as individuals, including careful records, academic and personal, counseling as to the college program and personal problems, physical examinations, vocation and placement advice."

The standards for junior colleges contain the following statement. "The academic, personnel, health, activity, and other records of students shall be systematically kept and protected from fire, loss, or damage. The registrar shall keep files of admission, matriculation, attendance, scholarship records, transcripts received, and other essential data.

From the Northwest Association of Secondary and Higher Schools, its Secretary-Treasurer, Mr. F. L. Stetson, states that some time ago the Northwest Association discontinued the use of specific objective criteria in connection with the evaluation of higher institutions. This was done in favor of what may be called a functional approach,

which is concerned primarily with the objectives of the school in question and the effect of its organization and operation in attaining these objectives. When a school is evaluated or re-evaluated, it is asked to report factually on a number of pertinent points regarding each phase of the total organization. In connection with the registrar's record and reports, each school is asked to explain its methods of keeping records and the provisions it has for safe keeping against possibility of loss by fire or vandalism. The evaluating committee makes use of this information and personal observation in reaching a judgment regarding the adequacy of the provisions.

According to the regulations of the Middle States Association of Colleges and Secondary Schools, as reported by Mr. F. Taylor Jones, Executive Secretary, there is no attempt to establish specific rules on matters such as the retention and safeguarding of academic records. Mr. Jones states further that of course it is important to handle such records properly but that they should rather not try to say just how that ought to be done.

The New England Association of Colleges and Secondary Schools reporting through the office of Mr. Richard G. King, Secretary, states that there are no specific requirements stated for the presentation of academic records. Mr. Mitchell O. Briggs, Executive Secretary-Treasurer of the Western College Association, reports that on occasion there has been some criticism in the Western Association of an institution because of its methods of handling and preserving records, but the association has taken no official action on the matter.

The North Central Association of Colleges and Secondary Schools, reporting through the office of Mr. Norman Burns, Executive Secretary, sent the following information: Assistance to students both prior to and after matriculation will be most effective if based upon complete knowledge about the student. The needs for such information are so many and so varied that it is essential that adequate records be kept.

Student records are of two types, academic and nonacademic. The need for official academic records is apparent to all, and the reason for keeping such official records on separate forms is evident. Duplication of some parts of the academic records may be desirable on the non-academic record forms.

1. Academic records—type. Academic records should include the official history of the student's academic career at the institution and

a summary of his previous scholastic work. Transcripts of such records should also show all official actions relating to the student's academic status.

2. Academic records—methods. Changes in the original entries on academic records should not be made except by faculty action or by the authorization of a duly appointed representative of the faculty. Responsibility for keeping and making available academic records should be definitely lodged with some administrative officer—with the registrar where such an officer exists.

3. Academic records—protection and filing. All academic records of students should be preserved and protected as permanently and adequately as possible. A fireproof vault affords the greatest protection.

4. Non-academic records—type. Various types of information are included in non-academic records, such as the results of tests, summaries of interviews, special reports from instructors, health notes, class load, employment, participation in activities, family history, and vocational interests. These records are frequently of use when counseling problems arise in the case of individual students. While care should be taken to prevent an undue amount of time and money being spent on the mere collection of facts and data, there are many types of information about a student which will help his adviser to understand and be of service to him.

5. Non-academic records—methods. The maintenance of this kind of information should be centralized in an institution so that complete information about a particular student can be easily and quickly located. It is frequently desirable that the reports of health and medical officers should be a part of a comprehensive record of non-academic matters. The centralization of all non-academic information about students in a single place in the institution does not preclude the possibility, and in some cases the advisability, of maintaining duplicates of part of all of this information in other places in the institution.

6. Non-academic records—protection and filing. Non-academic records of students should be preserved and protected as adequately as is possible. Fireproof vaults afford the greatest protection.

Permanent grade record. The permanent grade records of the students for their college work should be kept in a central office, preferably that of the registrar. The form for the keeping of these

records should be adequate for the purpose served. The records should give space for the course number, department, and course title, the grade received, and the term or semester in which the course was taken. The record should be so arranged as to facilitate the easy computation of the student's status in the institution at any time, insofar as this may be judged from the credit record. In addition to the grade record, this record should carry other necessary identifying personal items ,such as place of birth, name of father, maiden name of mother. The form should be of adequate size so that a single card will carry the entire collegiate record of any student in the institution. There should be evidence that the records are kept with care. They should be neat and thoroughly legible, without erasures, and should be posted promptly up to date. These records should be kept in a fireproof vault under conditions which will minimize the possibility of loss. At the same time the records should be easily accessible for consultation by deans and other personnel officers whenever necessary.

Record of term grades. In addition to the permanent records, there should be records from each faculty member for each course given during each semester or term. These records should list the students in the class in alphabetical order and should indicate the grade given each. The record should be signed by the instructor and should be clearly identified with respect to the course to which it applies and the semester or term and year to which it refers. These records should be bound and kept in a fireproof vault.

CHAPTER IV

Retention Recommendations

NOTED BELOW are specific retention schedules for records ordinarily under the jurisdiction of the registrar and director of admissions. It may be observed by some that these recommendations are quite liberal in relation to current practices within records offices. The contrast is heightened by the rather common "forever" record retention among representative institutions. A few institutions, however, have assumed leadership and have initiated successful retention programs.

Certain assumptions have been made in designing these retention recommendations:

1. That applicable state and university or college statutes are carefully observed in relating these recommendations to a particular institution.
2. Forms scheduled for destruction should be retained until statistics have been culled in order to make on-going institutional studies.
3. It would be well to have noted on the student's grade report and/or published in the student handbook that final grades are *final* unless the student notifies the appropriate official within three months of the date of issuance.
4. Finally, the retention recommendations are made with the basic assumption that officials will consider, modify, and apply these recommendations in relation to their own institutional requirements.

FOR THOSE WHO ENTER

RECORD	RECOMMENDED RETENTION	REMARKS
ADMISSIONS MATERIALS		
Application Blank Advanced Placement Reports College Bd. Ent. Exam. Reports Correspondence, General Letters of Recommendation* Medical Record Readmission Blank Residence, Legal Classification Form Special Actions Transcripts, Other Colleges Transcripts, High School	Graduation or 5 years after date of withdrawal	Recommendation based on assumptions that (a) these forms generally are maintained in individual student folders (b) destruction of the entire folder will save considerable sorting (c) pertinent data will be recorded on permanent academic records
REGISTRATION AND RECORDS MATERIALS		
Academic Record	Permanent	Recommend microfilm for security
Change of Course Card	1 year or less	
Course Schedule Card	1 year	
Disciplinary Action Notices	Graduation or 5 years after date of withdrawal	Less time if original is maintained in another office
Fee Assessment Card	1 year	
Grade Report—Instructor's Original	Permanent	If academic record is microfilmed, destroy after 5 years
Grade Report—Special	Permanent	
Grade Report—Students	1 year	
I.D. Photographs	1 year	
Personal Data Cards	1 year	
Scholastic Action Notices	1 year	
Student Transfer Forms (Curr. Change)	1 year	
Transcript Requests	1 year or less	
Withdrawal Form (Authorizations)	1 year or less	

FOR THOSE WHO APPLY BUT DO NOT ENTER

ADMISSIONS MATERIALS Application Blank Advanced Placement Reports College Bd. Ent. Exam. Reports Correspondence, General Letters of Recommendation* Medical Record Readmission Blank Residence, Legal Classification Form Special Actions Transcripts, Other Colleges Transcripts, High School	1 year	Retention of these materials beyond the recommended period of one year, unless required by state or institutional statutes, seems unnecessary and undesirable

* Principals, Counselors, Campus Testing, etc.

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Applying Records Schedules. A Records Management Handbook of the National Archives and Records Service. Washington: 1956. 23 p.

Suggestions, regulations and definitions for applying records control schedules in U. S. Government Offices. Helpful "rules-of-thumb" are given for instituting records schedules; for example, maximum-minimum costs for screening the contents of a file.

A Basic Plan for Record Retention and Destruction. Remington Rand, N.P.: n.d. 18 p.

Very helpful hints for developing a record retention authority, studies and surveys together with forms for facilitating a retention system.

Filmsort. Miehle-Goss-Dexter, Inc., Pearl River, New York: 1956 29 p.

Pictorial description of Filmsort equipment, services, and the principle of aperture cards.

A Guide for the Retention and Preservation of Records with Destruction Schedules. Hospital Edition. Record Controls, Inc., Chicago, Illinois: 1958. 46 p.

A thorough survey of methods for organizing records retention and, as well, the Federal and State laws regulating certain business and, in particular, hospital records. Well worth reading.

How to Index Your Microfilm Records. Recordak, n.p.: n.d. 11 p.

Brief description of Kodamatic Indexing, "Target-flash" and other indexing systems for reel microfilm.

Manual of Record Storage Practice. Bankers Box Co., Chicago 1955, 25 p.

Gives suggestions for retention schedules for business records and a practical implementation of storage filing.

Microfilming. Eastman Kodak Co., Rochester, New York: 1952. 60 p.

Information on the science of microfilming technique and film processing together with the vocabulary involved in microfilming as it applies to Eastman Kodak equipment specifically.

Minogue, Adelaide. *The Repair and Preservation of Records.* Bulletins of the National Archives. No. 5., Washington, D.C.: 1943. pp. 93-148.

Practical procedures for scientifically repairing records through chemical and physical applications.

Poor Herb! Or How to Prepare a Record Retention Schedule and Plan Your Record Storage Room. Record Files, Inc., Wooster, Ohio: n.d. 19 p.

This pamphlet applies cost accounting techniques to records storage in comparing various types of filing such as open shelf, steel drawers, and cartons. The analysis is sound in principle and application for educational institutions.

Retention and Preservation of Records with Destruction Schedules. Record Controls, Inc., Chicago, Illinois: 1958. 46 p.

This pamphlet is similar to *A Guide for the Retention and Preservation of Records with Destruction Schedules* noted above.

A Suggested and Simplified Record Retention Schedule for Manufacturing Companies. Record Files, Inc., Wooster, Ohio: n.d. 9 p.

Suggestions for the length of time a typical manufacturing company may retain records according to one, two, three, six, and ten years, indefinite period and permanent schedules. More helpful for college bursar than registrar.

Your Records: How to Cut Their Cost . . . and Increase Their Value. Remington Rand, n.p.: 1955. 14 p.

Briefly points up the approximate percentage of records to be maintained permanently, destroyed, and, finally, placed in temporary storage.

II. ARTICLES

Bastianello, M. George. "Controlling the White Elephant in Records Management," *Office Executive,* XXXIII, 22-23, December 1958.

Provides questions for intra-office decisions leading to intelligent records management.

Bobb, Frank W. "A Procedure for Microfilming Records," *Office Executive,* XXXIII, 28-32, May 1958.

A fine outline for establishing a step-by-step procedure for microfilming and indexing in reel form.

Dorstewitz, Alfred H. "Is the 'Paper Monster' Devouring Your Profits?" *Office Executive,* XXXIII, 14-17, June 1958.

Financial figures and arguments for an effective record controls administration. Well worth reading.

Drewry, Elizabeth B. "Records Disposition in the Federal Government," *Public Administration Review,* XV, 218-221, Summer 1955.

A historical description together with general principles involving U. S. Government records disposition. Assigns three values to records—administrative, legal and research—and a brief review of these values in relation to records control. Excellent at the theory-approach level for records retention.

Kern, D. W. "Oh! Those Old Records," *College and University,* XXXII, 234-236, Winter 1957.

Replies to seventy-five questionnaires brought seventy-one responses from registrars as to current policies and indecision regarding microfilming and storage of records.

Lyons, Mary. "Microfilm—And its Applications in the Office," *Office Management* October 1959, XX No. 10, pp. 76-88.

A fine review of microfilming advantages and applications.

Pomerantz, Bernard. "Conserve Costly Floor Space," *Office Executive,* XXXIII, 24-25, September 1958.

Description of mobile-storage units which require 30 to 50 per cent less floor space than the conventional aisle arrangement.

Sward, F. L. "How to Develop an Effective Records Retention Schedule," *Office Management,* XX, 37-38, 82, 83, 84, June 1959.

Description of several principles for establishing a retention schedule for business records and certain practical implementations of these principles; for example, having an attorney review the new management-approved retention schedule. Helpful for college registrars.

Wright, Almon R. "The Lure of the Microphotograph," *College and University,* XXIII, 382-395, April 1948.

A survey of the possible uses for microfilming in a college or university. Despite the rapid advances in microfilming, this article still has value.